CALIFORNIA SECRETARY OF STATE
BUSINESS PROGRAMS AUTOMATION PROJECT

UCC BULK ORDER
IMPLEMENTATION GUIDE

Effective July 2014

TABLE OF CONTENTS

1. Introduction

The Secretary of State's Office (SOS) is pleased to offer the ability to purchase UCC data and image records from our UCC system. This document, the *UCC Bulk Order Implementation Guide,* provides an overview of the purchase options that are available from the SOS.

1.1 Who Should Use This Guide?

This Implementation Guide is intended for the business or administrative user as well as the technical user. It is divided into two main sections – firstly, the administrative process of setting up an account, the funding or prepayment for the information as well as the order process, and secondly, the technical details for receiving the information from the SOS.

It is assumed that users of this document have, or have access to others that have, a certain level of technical knowledge. Consequently, the document does not provide fundamental instruction on topics such as internet-based applications and specific formats.

1.2 What Is A Bulk Order?

A Bulk Order is a means for customers to request and receive a large set of records in electronic format from the SOS. The records can be data records, TIFF images of documents or both. The Bulk Order can be for a one-time purchase or a subscription for updates. Depending on the type of records being purchased, specific formats, delivery and receipt options as well as the media can be requested.

This Guide contains a table in section 4 outlining the details for each of the available Bulk Order options, including file formats, size, media and delivery options. A separate table is provided describing the fees.

2. Bulk Order for Data

This section provides information regarding the available options for the purchase of UCC data records. Data can be purchased as a one-time Master Unload of records in the UCC system or as a Subscription for updates. For efficiency of storage and download, all files are compressed using a zip protocol.

2.1 Master Unload

A Master Unload is a complete extract of all records in the UCC database. Master Unload requests are processed on the Saturday following the request and include records processed by the system through Friday at midnight.

A data zip file is provided online for customers to download. The zip file (either ASCII or XML) will contain multiple files.

2.2 Subscription

Subscriptions generally begin with a Master Unload and then subsequent incremental updates of the records. Subscription files are generated on a daily basis. An agreement is required to initiate a Subscription and must be prepaid for the agreement period. The process for setting up a Bulk Order request is explained in Section 5.

A subscription entitles the purchaser to a separate file for each calendar day. The file contains the records processed for a given day up until midnight. In addition to new records, any record that has been modified is included in a daily file. Files are generated each day of the week including weekends and holidays. A daily data zip file is available online for customers to download.

3. Bulk Order for Images

This section provides information regarding the available options for the purchase of UCC image records. Images can be purchased as a one-time Master Unload of records in the UCC system or as a Subscription for updates. An Image Bulk Order includes an index containing the file number, document number, and image file name.

3.1 Master Unload

A Master Unload is a complete extract of all images in the SOS database. Master Unload requests are processed on the Saturday following the request and include the images of all documents filed through Friday at midnight.

3.1.1 Media Specifications

The Bulk Order Master Unload of Images is provided on an external hard drive. The drive has FireWire 800, FireWire 400, Hi-Speed USB 2.0 and USB 1.1 interfaces. The external hard drive becomes the property of the customer upon delivery.

3.1.2 Media File System

The external hard drive is formatted in NT File System (NTFS). Operating systems compatible with NTFS should be able to support this media. Images are stored in TIFF format.

3.2 Subscription

A Subscription is a request for incremental updates of images. A signed UCC Data and Images Agreement (refer to the appendices) is required to initiate a subscription and must be prepaid for the agreement period. The process for setting up a bulk order request is explained in Section 5.

A subscription entitles the purchaser to a separate file for each calendar day. The file contains the transactions processed for a given day up until midnight. In addition to new records, any record that has been modified is included in a daily file. Files are generated

each day of the week including weekends and holidays. The daily image zip files are unloaded weekly to a CD that is provided to the customer.

4.   Bulk Order Options

The following table summarizes the SOS UCC bulk order options. For each option, the available formats, media, and frequency are included. Physical media (CD and external hard drive) are included in the bulk order.   Delivery can be specified as either by web download, mail, pre-paid courier or pick up at the UCC public counter.

#	Bulk Order Request Type	File Type	Media	Frequency	Estimated Compressed File Size
1.	Master Unload: Data	ASCII	Web	One time	250 MB
		XML	Web	One time	250 MB
2.	Master Unload: Images	TIFF	External Hard Drive	One time	300GB
3.	Master Unload: Data & Image	XML or ASCII, TIFF	Web for Data and External Hard Drive for Images	One time	250 MB + 300 GB
4.	Subscription: Data	ASCII	Web	Daily on Web	300 KB
		XML	Web	Daily on Web	300 KB
5.	Subscription: Images	TIFF	CD only	Weekly	400 MB
6.	Subscription: Data & Image	XML or ASCII, TIFF	Web for Data and Image CD	Daily data on Web; Daily images weekly on CD	Daily data on web = 300 KB Weekly images = 400 MB

Table 4.1: Bulk Order Options

** Note that image files and data files are generated daily, however, image CDs will be burned and sent to customers once a week.

The following table provides the Bulk Order fees. Please note that for Master Unload of Images, the fee includes the cost of the external hard drive.

Bulk Order Type	One-Time (or As-Needed)
Master Unload – Data	$100.00
Master Unload – Images	$800.00
Master Unload – Data & Images	$900.00
Bulk Order Type	Annual
Subscription – Data	$2, 700.00
Subscription – Images	$3, 700.00
Subscription – Data & Images*	$4, 300.00

Table 4.2: Bulk Order Fees

Please note that a discount is offered if you purchase a subscription of both data and images at the same time. Use only one Bulk Order Request form when you order this option.

5.   Initiating a Bulk Order Request

The following documents are available for download from the HELP section of UCC Connect at https://uccconnect.sos.ca.gov :

- UCC Bulk Order Implementation Guide
- Bulk Order Frequently Asked Questions (FAQs)
- Sample bulk order data and images

To initiate the bulk order request process the following is required:

- A signed UCC Data and Images Agreement.
- A completed Bulk Order Request form
- Payment of the applicable bulk order fees

The subscription period runs from July 1st through June 30th (one fiscal year), although a subscription may be initiated or cancelled at any time. In those instances when a request does not cover a full fiscal year, the fee will be prorated.

A subscription can be continued each fiscal year by placing a new bulk order request and paying the associated fees. A new agreement does not need to be signed as the terms of the agreement remain in effect until they are changed by the SOS or the subscription is cancelled by either party.

The completed package is to be sent to the following:

Mail: CA Secretary of State
UCC Support Center
1500 11th Street, 2nd Floor
Sacramento, CA 95814
Telephone: (916) 651-9885
Email: Uccconnect@sos.ca.gov

Upon receipt of the completed package, the SOS will create a customer account and process the payment. The new customer account number will be sent to the customer with instructions on how to access files online through UCC Connect.

6. File Formats

This section describes the file formats for the Bulk Order images and data. It also includes the Filing Type and Change Filing Type Mapping.

6.1 Image Index File Format

The Image Index file will be provided along with the images. This file will allow customers to link the data and the associated images by using either the filing number or the document number (internal SOS number) assigned to the record. The Index file for the image extract will be as follows:

Type	Description
Character	Filing Number
Character	Document Number
Character	Image File Name

Note: The index file will be a comma-delimited file.

In the Master Unload index the Image File Name will include the Path. The following is an example of a line in the Master Unload index:

00130C0516,2644716,UCCMaster\2000\05\2644716.tif

The above depicts: file number, document number, path to Master directory (indicates year 2000 folder, month of May folder and the file name of the image)

"Master Filing" change documents were a web service available to customers until 6/30/2014. It allowed the filer to submit a secured party amendment or assignment for multiple filings using one "Master Filing" change document. Since the data that was updated was the same for all filings, the filer provided the secured party or assignment information along with a list of the initial filings to which the change applied.

When this happened a single "master" filing and a single "master" image was created. A unique document number was assigned to each "master" filing, associating the "master" change document to each initial filing that it amended. The image index file format is

constructed to transparently provide a path from the master filing number with a unique document number to the image file name (TIFF). For example, one master filing amends three initial filings, resulting in three separate lines in the master index file:

0470063163,1682350001,1682060002.tif

0470063163,1682360001,1682060002.tif

0470063163,1682370001,1682060002.tif

6.2 The Master Unload of Images Directory Tree

Figure 6.2 illustrates the Master Unload directory.
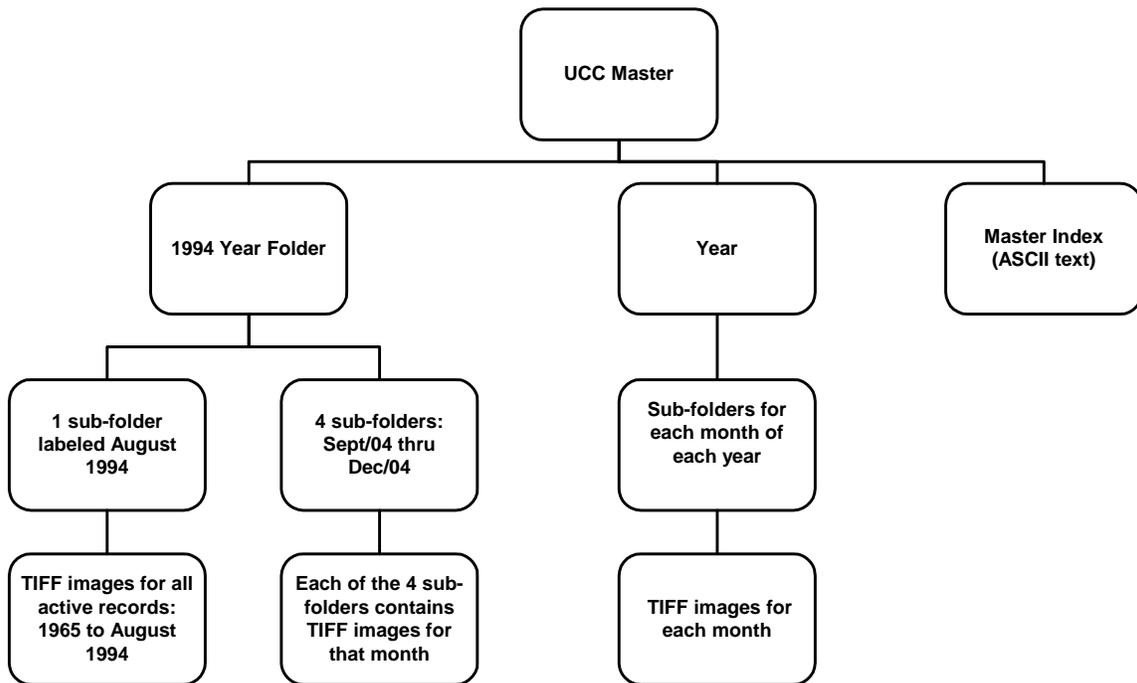
Figure 6.2: Master Unload of Images Directory Tree

The Master Unload external hard drive has a directory tree with UCC Master as the root directory. Inside it has an index file in ASCII text format and several sub-directories, each for a year of images. Each of the year directories (excluding 1994) has folders containing the images for each month and year in TIFF format.

The 1994 folder contains all images of active filings for the years 1965 through to August of 1994 when the Legacy system began operation.

6.3   File Name Convention

The file name convention for the Master/Subscription Data files is as follows:

Start Position	End Position	Length	Type	Description
1	1	1	Character	Division Code Valid Value : U = UCC

2	2	1	Character	Type of bulk order
				    Valid Values:
				    D = Daily,
				    M = Master,
				    F = ASCII/ XML File Layout

3	10	8	Character	Date of creation of file Format = YYYYMMDD

11	12	2	Character	Type of file format
				    Valid Values:
				    _A = ASCII file
				    _X = XML file.

The files generated are text files and contain record codes at start position to indicate the type of record. These record codes are:

Record Code 1: Initial Filing

Record Code 2: Business Debtor

Record Code 3: Individual Debtor

Record Code 4: Business Secured Party

Record Code 5: Individual Secured Party

Record Code 6: Amendment File

Record Code 7: Collateral Data

Record Code 9: File Record Counts

The Bulk Order file will be sorted based on the Initial Filing Number, and all the Record Codes for an Initial Filing record will appear together. If there are multiple Change Filings for the same Initial Filing, they will be sorted by the Change Filing Number.

7.   Filing Number Generation Logic

7.1   Filing Number Generation Logic - New System

The California SOS implemented a new UCC automation system in August 2004. The Filing Number generation logic for the new system is as follows:

	Filed After August 6, 2004
UCC1 Filing Number	YYNNNNNNNNXX ***Where:*** YY = Year NNNNNNNN = Sequence Number XX = Checksum digit **Note:** The sequence number is reset to 1 at the start of a new calendar year.
UCC3 Filing Number	YYNNNNNNNN ***Where:*** YY = Year NNNNNNNN = Sequence Number **Note:** The running sequence is reset to 1, at the start of a new calendar year.

7.2 Filing Number Generation Logic-Old System

The Filing Number generation Logic used by the Legacy system is as follows:

	Filed Before August 10, 1994	Filed after August 10, 1994
UCC1 Filing Number	YYYYNNNNNNBB *Where:* YYYY = Year NNNNNN = Sequence Number BB = Blank	YYYYJJJ6SSSS *Where:* YYYY = Year JJJ = Julian Date 6 = Initial Filing S = Sequence Number
UCC3 Filing Number	UUUUUUUUUUAN *Where:* UUUUUUUUUU = UCC1 File Number A = Alpha Character N = Sequence Number	YYYYJJJCSSSS *Where:* YYYY = Year JJJ = Julian Date C = Change Filing S = Sequence Number

Each record contains fields of fixed-width strings with spaces padded on the right to make up for the assigned width (Left Justified). This padding applies to alphanumeric and numeric fields.

7.3 Record Codes for ASCII Data Files

The following tables describe the character strings that make up each record:

7.3.1 Record Code 1 - Initial Filing Record

Start Position	End Position	Length	Type	Description
1	1	1	Character	Record Code Value = 1
2	15	14	Character	Initial Filing Number
16	27	12	Character	Static Value = '000000000000'
28	32	5	Numeric	Initial Filing Type **Note:** Refer to Initial Filing Type Mapping, Section 7.4.1.
33	40	8	Character	Filing Date Format = YYYYMMDD
41	44	4	Character	Filing Time Format = HHMM

45	45	1	Character	Filing Status
				    Values:
				    A = Unlapsed

Start Position	End Position	Length	Type	Description
				L = Lapsed D = Administrative Deletes E = Expunged
46	53	8	Character	Lapse Date Format = YYYYMMDD
54	57	4	Numeric	Page Count for Initial Filing
58	77	20	Numeric	Internal Document Number **Note:** For SOS use only
78	650	573		Filler

Filing Statuses are defined as follows:

Unlapsed are all records that have not yet lapsed in the UCC system,

Lapsed are all records that have lapsed, but are retained for one year in the UCC system

Administrative Deletes are records that have been voided from the UCC system,

Expunged are records that have been removed from the UCC system due to a Court Order.

Please note that *Inactive* filing statuses are not reported in the bulk order data.

7.3.2   Record Code 2 - Business Debtors

Start Position	End Position	Length	Type	Description
1	1	1	Character	Record Code Value = 2
2	15	14	Character	Initial Filing Number
16	27	12	Character	Static Value = '000000000000'
28	327	300	Character	Business Debtor Name
328	437	110	Character	Business Debtor Street Address
438	501	64	Character	Business Debtor City
502	533	32	Character	Business Debtor State
534	548	15	Character	Business Debtor Zip Code
549	554	6	Character	Business Debtor Zip Code Extension
555	557	3	Character	Business Debtor Country Code
558	650	93		Filler

7.3.3   Record Code 3 – Personal Debtors

Start Position	End Position	Length	Type	Description
1	1	1	Character	Record Code Value = 3
2	15	14	Character	Initial Filing Number
16	27	12	Character	Static Value = '000000000000'
28	77	50	Character	Personal Debtor Last Name
78	127	50	Character	Personal Debtor First Name
128	177	50	Character	Personal Debtor Middle Name
178	183	6	Character	Personal Debtor Suffix
184	293	110	Character	Personal Debtor Street Address
294	357	64	Character	Personal Debtor City
358	389	32	Character	Personal Debtor State
390	404	15	Character	Personal Debtor Zip Code
405	410	6	Character	Personal Debtor Zip Code Extension
411	413	3	Character	Personal Debtor Country Code
414	649	236		Filler

7.3.4   Record Code 4 - Business Secured Party

Start Position	End Position	Length	Type	Description
1	1	1	Character	Record Code Value = 4
2	15	14	Character	Initial Filing Number Includes Legacy (refer section 7.2) and the new System (refer section 7.1) for format of filing number.
16	27	12	Character	Static Value = '000000000000'
28	327	300	Character	Business Secured Party Name
328	437	110	Character	Business Secured Party Street Address
438	501	64	Character	Business Secured Party City
502	533	32	Character	Business Secured Party State
534	548	15	Character	Business Secured Party Zip Code
549	554	6	Character	Business Secured Party Zip Code Extension
555	557	3	Character	Business Secured Party Country Code
558	650	93		Filler

7.3.5   Record Code 5 – Personal Secured Party

Start Position	End Position	Length	Type	Description
1	1	1	Character	Transaction Code Value = 5
2	15	14	Character	Initial Filing Number
16	27	12		Static Value = '000000000000'
28	77	50	Character	Personal Secured Party Last Name
78	127	50	Character	Personal Secured Party First Name
128	177	50	Character	Personal Secured Party Middle Name
178	183	6	Character	Personal Secured Party Suffix
184	293	110	Character	Personal Secured Party Street Address
294	357	64	Character	Personal Secured Party City
358	389	32	Character	Personal Secured Party State
390	404	15	Character	Personal Secured Party Zip Code
405	410	6	Character	Personal Secured Party Zip Code

Start Position	End Position	Length	Type	Description
				Extension
411	413	3	Character	Personal Secured Party Country Code
414	649	236		Filler

7.3.6   Record Code 6 – Change Filing (UCC-3 filing)

Start Position	End Position	Length	Type	Description
1	1	1	Character	Transaction Code Value = 6
2	15	14	Character	Initial Filing Number **Note:** Includes Legacy (refer to section 7.2) and the new System (refer to section 7.1) for format of filing number.
16	27	12	Character	Filing Number of UCC-3 Filing
28	32	5	Numeric	Change Filing Type **Note:** Refer to Change Filing Type Mapping, Section 7.4.2.
33	40	8	Character	Filing Date Format = YYYYMMDD
41	44	4	Character	Filing Time Format = HHMM
45	48	4	Numeric	Page Count of UCC-3 Filing
49	68	20	Numeric	Internal Document Number **Note:** For SOS use only
69	650	582		Filler

7.3.7   Record Code 7 – Collateral

This layout contains collateral information that was provided by the filer in text file format. Any non-text file collateral will not be included in this layout. If a collateral description is more than 80 characters, it will be represented as multiple records each with 80 characters. Please note that the Collateral Line Sequence Number indicates the sequence of the multiple records.

Start Position	End Position	Length	Type	Description
1	1	1	Character	Transaction Code Value = 7
2	15	14	Character	Initial Filing Number
16	27	12	Character	Static Value = '000000000000'

28	37	10	Character	Filing Number that collateral text is associated with
38	43	6	Numeric	Collateral Line Sequence Number
44	123	80	Character	Collateral Description
124	647	524		Filler

7.3.8 Record Code 9 – File Record Count

Start Position	End Position	Length	Type	Description
1	1	1	Character	Transaction Code Value = 9
2	15	14	Character	Static Value = "999999999999"
16	27	12	Character	Static Value = '000000000000'
28	35	8	Numeric	Count of code 1 records
36	43	8	Numeric	Count of code 2 records
44	51	8	Numeric	Count of code 3 records
52	59	8	Numeric	Count of code 4 records
60	67	8	Numeric	Count of code 5 records
68	75	8	Numeric	Count of code 6 records
76	83	8	Numeric	Count of code 7 records
84	93	10	Numeric	Grand total of all records **Note:** Does not include this code 9, trailer record
94	101	8	Character	Certification Date Format = YYYYMMDD
102	109	8	Character	Creation Date Format = YYYYMMDD
110	516	407		Filler

7.4 Initial and Change Filing Mapping

7.4.1 Initial Filing Type Mapping

Initial Filing Type	Initial Filing Type Description	Pre-RA9 Filings
1	Financing Statement	
2	Public Finance Transaction	
3	Manufactured Home Transaction	
4	Transmitting Utility	
5	Federal Tax Lien	
6	Federal Estate Tax Lien	

Initial Filing Type	Initial Filing Type Description	Pre-RA9 Filings
7	Pension Benefit Lien	
8	State Tax Lien	
9	Judgment Lien	
10	Attachment Lien	
11	Dairy Cattle Lien	Not valid for filings after 07/01/2001
12	Fish/Poultry Lien	Not valid for filings after 07/01/2001
13	Chemical Seed Lien	Not valid for filings after 07/01/2001
14	Equipment Repurchase Lien	Not valid for filings after 07/01/2001
15	Livestock Lien	Not valid for filings after 07/01/2001

7.4.2　Change Filing Type Mapping

Change Filing Type	Initial Filing Type	Change Filing Type Description
2	Financing Statement	Filing Officer Statement
3	Financing Statement	Full Master Amendment
4	Financing Statement	Full Master Assignment
5	Financing Statement	Termination
6	Financing Statement	Continuation
7	Financing Statement	Assignment
8	Financing Statement	Amendment
9	Financing Statement	Correction Statement
10	Financing Statement	Court Order
11	Financing Statement	Court Order No Change
13	Public Finance Transaction	Filing Officer Statement
14	Public Finance Transaction	Full Master Amendment
15	Public Finance Transaction	Full Master Assignment
16	Public Finance Transaction	Termination
17	Public Finance Transaction	Continuation
18	Public Finance Transaction	Assignment
19	Public Finance Transaction	Amendment
20	Public Finance Transaction	Correction Statement
21	Public Finance Transaction	Court Order
22	Public Finance Transaction	Court Order No Change
24	Manufactured Home Transaction	Filing Officer Statement
25	Manufactured Home Transaction	Full Master Amendment
26	Manufactured Home Transaction	Full Master Assignment
27	Manufactured Home Transaction	Termination
28	Manufactured Home Transaction	Continuation
29	Manufactured Home Transaction	Assignment
30	Manufactured Home Transaction	Amendment
31	Manufactured Home Transaction	Correction Statement
32	Manufactured Home Transaction	Court Order

Change Filing Type	Initial Filing Type	Change Filing Type Description
33	Manufactured Home Transaction	Court Order - No Change
35	Transmitting Utility	Filing Officer Statement
36	Transmitting Utility	Full Master Amendment
37	Transmitting Utility	Full Master Assignment
38	Transmitting Utility	Termination
39	Transmitting Utility	Assignment
40	Transmitting Utility	Amendment
41	Transmitting Utility	Correction Statement
42	Transmitting Utility	Court Order
43	Transmitting Utility	Court Order - No Change
45	Federal Tax Lien	Filing Officer Statement
46	Federal Tax Lien	Full Master Amendment
48	Federal Tax Lien	Termination
49	Federal Tax Lien	Continuation
50	Federal Tax Lien	Amendment
51	Federal Tax Lien	Court Order
52	Federal Tax Lien	Court Order - No Change
54	Federal Estate Tax Lien	Filing Officer Statement
55	Federal Estate Tax Lien	Full Master Amendment
57	Federal Estate Tax Lien	Termination
58	Federal Estate Tax Lien	Continuation
59	Federal Estate Tax Lien	Amendment
60	Federal Estate Tax Lien	Court Order
61	Federal Estate Tax Lien	Court Order - No Change
63	Pension Benefit Lien	Filing Officer Statement
64	Pension Benefit Lien	Full Master Amendment
66	Pension Benefit Lien	Termination
67	Pension Benefit Lien	Continuation
68	Pension Benefit Lien	Amendment
69	Pension Benefit Lien	Court Order
70	Pension Benefit Lien	Court Order - No Change
72	State Tax Lien	Filing Officer Statement
73	State Tax Lien	Full Master Amendment
75	State Tax Lien	Erroneous Termination
76	State Tax Lien	Continuation
77	State Tax Lien	Amendment
78	State Tax Lien	Court Order
79	State Tax Lien	Court Order - No Change
81	Judgment Lien	Filing Officer Statement
82	Judgment Lien	Full Master Amendment
84	Judgment Lien	Termination
85	Judgment Lien	Amendment
86	Judgment Lien	Court Order

Change Filing Type	Initial Filing Type	Change Filing Type Description
87	Judgment Lien	Court Order - No Change
89	Attachment Liens	Filing Officer Statement
90	Attachment Liens	Full Master Amendment
92	Attachment Liens	Termination
93	Attachment Liens	Continuation
94	Attachment Liens	Amendment
95	Attachment Liens	Court Order
96	Attachment Liens	Court Order - No Change
98	Dairy Cattle Lien	Filing Officer Statement
99	Dairy Cattle Lien	Full Master Amendment
100	Dairy Cattle Lien	Full Master Assignment
101	Dairy Cattle Lien	Termination
102	Dairy Cattle Lien	Assignment
103	Dairy Cattle Lien	Continuation
104	Dairy Cattle Lien	Amendment
105	Dairy Cattle Lien	Correction Statement
106	Dairy Cattle Lien	Court Order
107	Dairy Cattle Lien	Court Order - No Change
109	Fish/Poultry Lien	Filing Officer Statement
110	Fish/Poultry Lien	Full Master Amendment
111	Fish/Poultry Lien	Full Master Assignment
112	Fish/Poultry Lien	Termination
113	Fish/Poultry Lien	Assignment
114	Fish/Poultry Lien	Continuation
115	Fish/Poultry Lien	Amendment
116	Fish/Poultry Lien	Correction Statement
117	Fish/Poultry Lien	Court Order
118	Fish/Poultry Lien	Court Order - No Change
120	Chemical/Seed Lien	Filing Officer Statement
121	Chemical/Seed Lien	Full Master Amendment
122	Chemical/Seed Lien	Full Master Assignment
123	Chemical/Seed Lien	Termination
124	Chemical/Seed Lien	Assignment
125	Chemical/Seed Lien	Continuation
126	Chemical/Seed Lien	Amendment
127	Chemical/Seed Lien	Correction Statement
128	Chemical/Seed Lien	Court Order
129	Chemical/Seed Lien	Court Order - No Change
131	Equipment Repurchase Lien	Filing Officer Statement
132	Equipment Repurchase Lien	Full Master Amendment
133	Equipment Repurchase Lien	Full Master Assignment
134	Equipment Repurchase Lien	Termination
135	Equipment Repurchase Lien	Assignment

Change Filing Type	Initial Filing Type	Change Filing Type Description
136	Equipment Repurchase Lien	Continuation
137	Equipment Repurchase Lien	Amendment
138	Equipment Repurchase Lien	Correction Statement
139	Equipment Repurchase Lien	Court Order
140	Equipment Repurchase Lien	Court Order - No Change
142	Livestock Lien	Filing Officer Statement
143	Livestock Lien	Full Master Amendment
144	Livestock Lien	Full Master Assignment
145	Livestock Lien	Termination
146	Livestock Lien	Assignment
147	Livestock Lien	Continuation
148	Livestock Lien	Amendment
149	Livestock Lien	Correction Statement
150	Livestock Lien	Court Order
151	Livestock Lien	Court Order - No Change
283	State Tax Lien	Termination
303	Federal Tax Lien	Erroneous Termination
323	Judgment Lien	FOS Expunge
343	Federal Tax Lien	Amendment Refile
483	Judgment Lien	Continuation
543	Manufactured Home Transaction	Information Statement
544	Transmitting Utility	Information Statement
545	Dairy Cattle Lien	Information Statement
546	Livestock Lien	Information Statement
547	Financing Statement	Information Statement
548	Public Finance Transaction	Information Statement

8.   Detailed XML Document Specifications

This section describes the XML Document Specifications in detail:

8.1   Reserved Characters

There are five special characters that are reserved and cannot be used directly in the XML element or attribute data. They must be replaced with what are called XML Entity References. These special character references act as flags to the parser. They delimit the actual content of the document and tell the parser to take specific actions. In order to prevent misinterpretation by the parser, if these special characters are used they must be represented using the Entity References shown in the following table.

Reserved Character (Do Not Use)	Entity Reference As	Character Name
&	&	Ampersand
'	'	Apostrophe
"	"	Quote
<	<	Less Than
>	>	Greater Than

For example, the debtor name of Crate & Barrel would be represented as:

<OrganizationName>Crate & Barrel</OrganizationName>

Customers should account for the conversion of reserved characters into equivalent Entity References when determining OrganizationName length. If the OrganizationName of a submitted XML has one of more reserved characters, then the length of the OrganizationName in the returned XML may exceed the 300-character limit after conversion of reserved characters.

8.2   Document Specifications

This section provides the document specifications for Bulk Orders.

				DOCUMENT	
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Daily Subscription/ Master Unload Data**
XMLVersion	**XMLVersion** Attribute: Version		0 or 1	Attribute Value will be 06232003	R/O
Header			1		R/O
Record			1 or more		R/O
FileSignature			0 or 1	Secretary of State, State of California [*Name of Current Secretary*] Secretary of State.	O/O

Bold text in the Element Location column or Element column indicates data elements that are made up of sub-elements, and will not contain data

O = Optional
R = Required
- = N/A (Data will be discarded)
R/O – Required, for Filing Office Use
O/O = Optional, for Filing Office Use

		HEADER			
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Daily Subscription/ Master Unload Data**
Filer			1		R/O
	Names		1	*Note:* • *If OrganizationName is present, IndividualName must be blank,* • *If IndividualName is present; OrganizationNamemust be blank.*	R/O
	OrganizationName	300	1	Secretary of State, State of California.	R
	IndividualName		1	*Note: California does not use this element.*	-
	LastName	50	1	*Note: California does not use this element.*	-
	FirstName	50	1	*Note: California does not use this element.*	-
	MiddleName	50	1	*Note: California does not use this element.*	-
	Suffix	40	1	*Note: California does not use this element.*	-
	MailAddress	100	1	Address of UCC Division	R/O
	City	50	1	Address of UCC Division	R/O
	State	32	1	Address of UCC Division	R/O
	PostalCode	15	1	Address of UCC Division	R/O
	County	-	0 or 1	*Note: California does not use this element.*	-
	Country	3	0 or 1	Address of UCC Division	R/O
	TaxID	-	0 or 1	*Note: California does not use this element.*	-
	OrganizationalType Attribute: Type	-	0 or 1	*Note: California does not use this element.*	-

	HEADER				
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Daily Subscription/ Master Unload Data**
	OrganizationalJuris	-	0 or 1	*Note: California does not use this element.*	-
	OrganizationalID	-	0 or 1	*Note: California does not use this element.*	-
	Mark	-	0 or 1	*Note: California does not use this element.*	-
	ClientAccountNum	15	1	*Note: California does not use this element.*	-
	ContactName	150	1	*Note: California does not use this element.*	-
	ContactPhone	24	1	*Note: California does not use this element.*	-
	ContactEmail	64	1	*Note: California does not use this element.*	-
	ContactFax	16	1	*Note: California does not use this element.*	-
	ReturnURL	64	0 or 1	*Note: California does not use this element.*	-
	ReturnUserId	32	0 or 1	*Note: California does not use this element.*	-
	ReturnUserPWD	32	0 or 1	*Note: California does not use this element.*	-
PacketNum	PacketNum	15	0 or 1	The format of the Packet number will be XYYYYMMDD. Where X = D for Daily Files and M for Master files.	R/O
Test	Test Attribute: Choice	3	1	Indicates the submission is for test purposes only. **Values:** No Yes	R/O

RECORD					
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Daily Subscription/ Master Unload Data**
SubmitterRef	SubmitterRef	80	1	*Note: California does not use this element.*	-
Request		-	1	*Note: California does not use this element.*	-
	SearchType	16	1	*Note: California does not use this element.*	-
	ResultType	16	1	*Note: California does not use this element.*	-
	UnLapsedPlus1	12	1	*Note: California does not use this element.*	-
	FileNumberToSearch	15	1	*Note: California does not use this element.*	-
	Names	-	1	*Note: California does not use this element.*	-

		RECORD			
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Daily Subscription/ Master Unload Data**
	OrganizationName	300	1	*Note: California does not use this element.*	-
	IndividualName	-	1	*Note: California does not use this element.*	-
	LastName	50	1	*Note: California does not use this element.*	-
	FirstName	50	1	*Note: California does not use this element.*	-
	MiddleName	50	1	*Note: California does not use this element.*	-
	Suffix	40	1	*Note: California does not use this element.*	-
	MailAddress	110	1	*Note: California does not use this element.*	-
	City	50	1	*Note: California does not use this element.*	-
	State	32	1	*Note: California does not use this element.*	-
	PostalCode	15	1	*Note: California does not use this element.*	-
	County	-	1	*Note: California does not use this element.*	-
	Country	3	1	*Note: California does not use this element.*	O/O
	TaxID	-	1	*Note: California does not use this element.*	-
	OrganizationalType	-	1	*Note: California does not use this element.*	-
	OrganizationalJuris	-	1	*Note: California does not use this element.*	-
	OrganizationalID	-	1	*Note: California does not use this element.*	-
	Mark	-	1	*Note: California does not use this element.*	-
	FromDate	8	1	*Note: California does not use this element.*	O/O
	ToDate	-	1	*Note: California does not use this element.*	-

		RECORD			
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Daily Subscription/ Master Unload Data**
Results		-	1		R/O
Errors		-	1	*Note: California does not use this element.*	-
	ErrorText	128	1 or more	*Note: California does not use this element.*	-

Element Location	Element	Max Length	Occurrence	Definition	Daily Subscription/ Master Unload Data
RESULTS					
ThruDate	ThruDate	8	1	Certification Date will be returned in this element.	-
ProcessDate	ProcessDate	8	1	Date the file was created. **Format:** CCYYMMDD	R/O
NumberOfRecords	NumberOfRecords	10	1	Number of Initial Filing records found	R/O
FeeAmount	FeeAmount	7.2	1	*Note: California does not use this element.*	R/O
FilingHistory		-	0 or more	*Note: California does not use this element.*	-
	OriginalFiling	-	1 or more	*Note: California does not use this element.*	-
	FileNumber	15	1	*Note: California does not use this element.*	-
	FileDate	8	1	*Note: California does not use this element.*	-
	NameOnFile	300	1	*Note: California does not use this element.*	-
	FilingOffice	15	1	*Note: California does not use this element.*	-
	LapseDate	8	1	*Note: California does not use this element.*	-
	SubsequentFilings	-	0 or more	*Note: California does not use this element.*	-
	FileNumber	15	1	*Note: California does not use this element.*	-
	FileDate	8	1	*Note: California does not use this element.*	-
	FileType (Type)	30	1	*Note: California does not use this element.*	-
	FilingOffice	15	1	*Note: California does not use this element.*	-
FileDetail		-	0 or more	The Filing Records for Bulk data will be returned under the Results element.	R/O

		FILE DETAIL			
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Daily Subscription/ Master Unload Data**

TransType	TransType	16	1	Indicates whether the Filing is Initial Filing or Change Filing.
				
				Values:
				   Initial
				   Amendment
					R/O

FilingMethod	FilingMethod	16	1	Identifies the method by which the filing received by the Filing Office.
				
				Values:
				   Electronic
				   Paper
					R/O

		FILE DETAIL			
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Daily Subscription/ Master Unload Data**
AmendmentType	AmendmentType	24	0 or 1	Identifies the type of Change Filing. **Values:** Amendment Assignment Continuation Termination Correction FilingOfficerStatement CourtOrder Information Statement NOType *Note*: • *Value 'NOType' applies only for the Initial Filing.* • *Only* **one** *AmendmentType per record is returned.*	O/O
AmendmentActionLoop		-	1	*Note: California will include these details as part of the images.*	-
	AmendmentAction	24	1 or more		-
AmendmentTypeLoop		-	1	*Note: California will include these details as part of the images.*	-

					FILE DETAIL	
Element Location	**Element**	**Max Length**	**Occurrence**		**Definition**	**Daily Subscription/ Master Unload Data**
	AmendmentType	24	1 or more			-
OriginalFileNumber	OriginalFileNumber	15	1		The File Number of the Initial Filing.	R/O
OriginalFileDate	OriginalFileDate	8	1		The File Date of the Initial Filing. **Format:** CCYYMMDD HHMM	R/O
PreviousFileNumber	PreviousFileNumber	-	1		*Note: California will not return this element.*	R/O
LapseDate	LapseDate	8	1		The Lapse Date of the Initial Filing. **Format:** CCYYMMDD	R/O
FileDate	FileDate	8	1		The File Date of the Filing Document. **Format:** CCYYMMDD HHMM *Note: For the Initial Filing record the Initial Filing Date will be returned.*	R/O
FilingOffice	FilingOffice	15	1		Value of "CA" will be returned.	R/O
ActionCode	ActionCode	-	1		*Note: California does not use this element.*	-
AltNameDesignation	AltNameDesignation	20	1		*Note: California will include these details as part of the images.*	-

				FILE DETAIL	
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Daily Subscription/ Master Unload Data**

AltFilingType	AltFilingType	19	1	The Filing Type for the Initial Filing record will be returned.
				
				Values:
				    NonUCCFiling
				    TransmittingUtility
				    ManufacturedHome
				    PublicFinance
				    FederalLien
				    StateLien
				    JudgementLien
				    FederalEstateLien
				    PensionBenefitLien
				    AttachementLien
				    NOAltType
				
				Note:
				• *Value of NOAltType will be used for Financing Statement.*
				• *Value of NonUCCFiling will be used for Dairy Cattle Lien, Fish/Poultry Lien, Chemical/Seed Lien, Equipment Purchase Lien and Livestock Lien.*
					-

FileInRealEstate		-	0 or 1	*Note: California does not use this element.*	-
	Designation	-	1	*Note: California does not use this element.*	-

					FILE DETAIL	
Element Location	**Element**	Max Length	Occurrence		**Definition**	**Daily Subscription/ Master Unload Data**
	RealEstateDescription	-	1		*Note: California does not use this element.*	-
	Names	-	1		*Note: California does not use this element.*	-
	OrganizationName	-	1		*Note: California does not use this element.*	**-**
	IndividualName	-	1		*Note: California does not use this element.*	**-**
	LastName	-	1		*Note: California does not use this element.*	**-**
	FirstName	-	1		*Note: California does not use this element.*	**-**
	MiddleName	-	1		*Note: California does not use this element.*	**-**
	Suffix	-	1		*Note: California does not use this element.*	**-**
	MailAddress	-	1		*Note: California does not use this element.*	**-**
	City	-	1		*Note: California does not use this element.*	**-**
	State	-	1		*Note: California does not use this element.*	**-**
	PostalCode	-	1		*Note: California does not use this element.*	**-**
	County	-	1		*Note: California does not use this element.*	**-**
	Country	-	1		*Note: California does not use this element.*	**-**
	TaxID	-	1		*Note: California does not use this element.*	**-**
	OrganizationalType	-	1		*Note: California does not use this element.*	**-**
	OrganizatitonalJuris	-	1		*Note: California does not use this element.*	**-**
	OrganizationalID	-	1		*Note: California does not use this element.*	**-**
	Mark	-	1		*Note: California does not use this element.*	**-**
MiscInfo	MiscInfo	36	1		*Note: California does not use this element.*	**-**

				FILE DETAIL	

Element Location	Element	Max Length	Occurrence	Definition	Daily Subscription/ Master Unload Data
CurrentName		-	0 or more	*Note: California does not use this element.*	-
	OrganizationName	300	1	*Note: California does not use this element.*	-
	IndividualName	-	1	*Note: California does not use this element.*	-
	LastName	50	1	*Note: California does not use this element.*	-
	FirstName	50	1	*Note: California does not use this element.*	-
	MiddleName	50	1	*Note: California does not use this element.*	-
	Suffix	40	1	*Note: California does not use this element.*	-
Debtors		-	1		O/O
	DebtorName	-	1 or more	The CA SOS system will return all the Debtor Names associated with the Filing Number (UCC1 or UCC3) being returned	O/O
	Names	-	1	OrganizationName **or** IndividualName is required *Note:* • *If OrganizationName is present, IndividualName must be blank;* • *If Individual Name is present, OrganizationName must be blank.*	O/O

		FILE DETAIL			
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Daily Subscription/ Master Unload Data**
	OrganizationName	300	1	Identifies the affect party in an Amendment. *Note: If the OrganizationName of a submitted XML has one or more reserved characters, then the length of the OrganizationName in the returned XML may be greater than 300 characters.*	R/O
	IndividualName	-	1		O/O
	LastName	50	1	Family name or surname of the Individual.	R/O
	FirstName	50	1	First given name of the Individual.	O/O
	MiddleName	50	1	All additional given names for an individual excluding the family name and the first given name	O/O
	Suffix	40	1	A title of lineage for an Individual	O/O
	MailAddress	110	1	Mailing Address of the designated party.	R/O
	City	50	1	City of the designated party.	R/O
	State	32	1	2 character US postal identification code.	R/O
	PostalCode	15	1	The postal code for the party	O/O
	County	-	1	*Note: California does not use this element.*	-
	Country	3	1	3 character Country Code of the party.	R/O
	TaxID	-	1	*Note: California does not use this element.*	-
	OrganizationalType	50	1	*Note: California does not use this element.*	-
	OrganizationalJuris	24	1	*Note: California does not use this element.*	-

		FILE DETAIL			

Element Location	Element	Max Length	Occurrence	Definition	Daily Subscription/ Master Unload Data
	OrganizationalID	54	1	*Note: California does not use this element.*	-
	Mark	-	1	*Note: California does not use this element.*	-
	DebtorAltCapacity	16	1	*Note: California does not use this element.*	-
Secured		**-**	**1**	The CA SOS system will return all the Secured Parties associated with the Filing Number (UCC1 or UCC3) being returned	O/O

	Names	-	1 or more	OrganizationName **or** IndividualName is required
				
				Note:
				  • *If OrganizationName is present, IndividualName must be blank;*
				  • *If Individual Name is present, OrganizationName must be blank.*
					O/O

	OrganizationName	300	1	Identifies the affect party in an Amendment. *Note: If the OrganizationName of a submitted XML has one or more reserved characters, then the length of the OrganizationName in the returned XML may be greater than 300 characters*	R/O
	IndividualName	-	1		O/O
	LastName	50	1	Family name or surname of the Individual.	R/O
	FirstName	50	1	First given name of the Individual.	O/O
	MiddleName	50	1	All additional given names for an individual excluding the family name and the first given name	O/O

		FILE DETAIL			
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Daily Subscription/ Master Unload Data**
	Suffix	40	1	A title of lineage for an Individual	O/O
	MailAddress	110	1	Mailing Address of the designated party.	R/O
	City	50	1	City of the designated party.	R/O
	State	32	1	2 character US postal identification code.	R/O
	PostalCode	15	1	The postal code for the party	O/O
	County	-	1	*Note: California does not use this element.*	-
	Country	3	1	3 character Country Code of the party.	R/O
	TaxID	-	1	*Note: California does not use this element.*	-
	OrganizationalType	-	1	*Note: California does not use this element.*	-
	OrganizationalJuris	-	1	*Note: California does not use this element.*	-
	OrganizationalID	-	1	*Note: California does not use this element.*	-
	Mark	-	1	*Note: California does not use this element.*	-
Assignor		**-**	0 or more	*Note: California does not use this element.*	-
	Names	**-**	1 or more	*Note: California does not use this element.*	-
	OrganizationName	300	1	*Note: California does not use this element.*	-
	IndividualName	**-**	1	*Note: California does not use this element.*	-
	LastName	50	1	*Note: California does not use this element.*	-
	FirstName	50	1	*Note: California does not use this element.*	-
	MiddleName	50	1	*Note: California does not use this element.*	-
	Suffix	40	1	*Note: California does not use this element.*	-

		FILE DETAIL			
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Daily Subscription/ Master Unload Data**
	MailAddress	110	1	*Note: California does not use this element.*	-
	City	50	1	*Note: California does not use this element.*	-
	State	32	1	*Note: California does not use this element.*	-
	PostalCode	24	1	*Note: California does not use this element.*	-
	County	-	1	*Note: California does not use this element.*	-
	Country	3	1	*Note: California does not use this element.*	-
	TaxID	-	1	*Note: California does not use this element.*	-
	OrganizationalType	-	1	*Note: California does not use this element.*	-
	OrganizationalJuris	-	1	*Note: California does not use this element.*	-
	OrganizationalID	-	1	*Note: California does not use this element.*	-
	Mark	-	1	*Note: California does not use this element.*	-
Collateral		-	1		O/O
	ColText	50K	0 or more	The value will be provided only for Electronic Filings where collateral is provided as text For paper filings no value will be returned.	O/O
	FSAProducts	-	0 or 1		-
	Name-Code	-	1 or more		-
	Years	-	1		-

Element Location	Element	Max Length	Occurrence	Definition	Daily Subscription/ Master Unload Data
	Year	-	1		-
	Counties	**-**	1		-
	County	-	1 or more		-
	Unit	-	1		-
	Quantity	-	1		-
	Location	-	1		-
	Description	-	1		-
	Attachment	**-**	0 or 1	*Note: California does not use this element.*	-
	MIMEType	8	**1**	*Note: California does not use this element.*	
	TextData	50K	1	*Note: California does not use this element.*	-
AuthorizingParty		**-**	1 or more	*Note: California does not use this element.*	-
	AuthSecuredParty	**-**	0 or 1	*Note: California does not use this element.*	-
	OrganizationName	300	1	*Note: California does not use this element.*	-
	IndividualName	**-**	1	*Note: California does not use this element.*	-
	LastName	50	1	*Note: California does not use this element.*	-
	FirstName	50	1	*Note: California does not use this element.*	-
	MiddleName	50	1	*Note: California does not use this element.*	-
	Suffix	40	1	*Note: California does not use this element.*	-
	AuthDebtor	**-**	0 or 1	*Note: California does not use this element.*	-

FILE DETAIL					
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Daily Subscription/ Master Unload Data**
	OrganizationName	300	1	*Note: California does not use this element.*	-
	IndividualName	-	1	*Note: California does not use this element.*	-
	LastName	50	1	*Note: California does not use this element.*	-
	FirstName	50	1	*Note: California does not use this element.*	-
	MiddleName	50	1	*Note: California does not use this element.*	-
	Suffix	40	1	*Note: California does not use this element.*	-

9. Appendix E: UCC Data and Images Agreement

(see next page)

UCC DATA AND IMAGES AGREEMENT

SECTION 1: SUMMARY INFORMATION

A. **Points of Contact**
The following individuals have been identified as points of contact within the Secretary of State and the Customer:

(Please fill-in table)

	Customer Information:	**Secretary of State Information:**
Company Name:		CA SOS
Contact Name:		UCC Support Center
Phone Number:		916-651-9885
Email Address:		uccconnect@sos.ca.gov
Mailing Address:		UCC Support Center 1500 11th Street Sacramento, CA 95814

B. **For Secretary of State Use Only**

Customer Account #:		
	Yes/No	**Document #**
XML Filer:		N/A
Bulk Order Master Data:		
Bulk Order Master Images:		
Subscription Data:		
Subscription Images:		

CALIFORNIA SECRETARY OF STATE'S OFFICE
UCC DATA AND IMAGES AGREEMENT

The following Agreement is made by and between the California Secretary of State, (SOS), and Customer (identified in the signature block at the end of this agreement) for their participation in the exchange of data and images as part of the California Uniform Commercial Code System (hereinafter referred to as "System").

SECTION 2: GENERAL

A. Purpose

The purpose of this Agreement is to identify and agree to the activities that SOS and Customer will undertake in the exchange of data and images as part of the California Uniform Commercial Code (UCC) System.

B. Scope

The SOS has developed a System that enables customers to electronically conduct transactions. The following activities are subject to this agreement:

- Web Filings and Requests

- Filings and Requests in XML and ASCII formats, including uploads and downloads

- Filings and Requests using Automated Exchange

- Bulk Order activities including requesting and receiving data over the web, via CD and/or external hard drive.

Please refer to the *Bulk Order Implementation Guide* for greater detail regarding the bulk order options. Please refer to the *XML Implementation Guide* for information regarding the XML process and implementation.

C. General Provisions regarding data and images provided by the SOS

Access to the data will be made available through the SOS web site at https://www.uccconnect.sos.ca.gov/. Data and images will be exchanged using the options of the Internet, CD or external hard drive.

Customer is responsible for all activities undertaken by its employees or officers when using any services provided by the SOS. All such activities are at Customer's own risk.

SOS and Customer shall provide data consistent with the standards and formats described in the XML Implementation Guide and the Bulk Order Implementation Guide.

Nothing herein contained shall be construed to limit the power of SOS to sell copies of the data and/or images, as SOS selects, provided the price charged for equivalent data and/or images is the same for all Customers.

SOS represents and warrants that the images supplied to the Customer pursuant to this Agreement are documents in the public domain. The Customer, upon purchase and receipt of the images, shall have the right to reproduce, distribute, display, or otherwise use the images for any purpose except as limited by the terms of this Agreement, or as otherwise restricted by law.

SOS represents and warrants that the data supplied to the Customer pursuant to this agreement is derived from documents in the public domain. The Customer, upon purchase and receipt of the data, shall have the right to reproduce, distribute, display, or otherwise use the data for any purpose except as limited by the terms of this Agreement, or as otherwise restricted by law.

The Customer shall not transfer, sell, or assign this Agreement, or any right or privilege given thereunder to any other person, firm, association or any other business entity. Any transfer or attempted transfer, sale or assignment shall render this Agreement thereafter null and void and of no force and effect, and shall forever discharge the SOS from any obligation or liability hereunder, including but not limited to, any refund of subscription fees.

SOS, in producing the data and/or images, disclaims any liability for the accuracy of any of the content or information therein.

The data and/or images are produced and sold for general information purposes only, and are not to be construed as having the legal effect of a certified copy or an official certification of filing issued by SOS.

Customer agrees to indemnify, defend and hold harmless the State of California, SOS or any of their officers, agents and employees from any and all claims and losses accruing or resulting to any and all persons, firms associations or any other business entities as a direct result of errors or omissions introduced into the data and/or images by the Customer and resulting from the Customer's dissemination of any or all of the information contained in the data and/or images.

It is mutually understood and agreed that no alteration of the terms of this Agreement shall be valid unless made in writing and signed by the parties hereto and that no oral understanding or agreements not incorporated herein and no alteration or variations of the terms hereof unless made in writing between the parties shall be binding on either party.

D. Security

Security will be maintained by SOS and Customer to ensure the integrity and accuracy of the data is maintained. To ensure that the information exchanged between Customer and SOS is secured, the SOS has provided that the URL used for automated exchange to XML will send documents over Secured Socket Layer (SSL).

The Customer will develop their custom application for Automated Exchange to encrypt the Customer ID and Password using HTTP encoding. The SOS automated process will then decode the Customer ID and Password for validation purposes.

E. Resource Responsibilities

SOS and Customer are responsible for securing the resources required to meet the requirements of this agreement.

SOS and Customer are responsible for their own costs and resources identified as being needed to ensure a successful transfer of data between each other's information systems, and in reconciling data quality issues that arise from the data integration.

F. Period of Agreement and Termination

The term of this Agreement is from July 1st through June 30th of the fiscal year. Subscriptions can be continued each fiscal year by placing a new bulk order request and the payment of the associated fees. The terms of this Agreement remain in effect until terminated, cancelled or changed by the SOS or Customer. Either party may terminate this Agreement by notifying the other party with thirty (30) days written notice. If SOS terminates this Agreement, SOS will refund Customer's money on a pro rata basis based on the remaining time of the yearly contract.

SECTION 3: ELECTRONIC FILINGS AND ORDERS

A. Services:

Following services are available from the SOS:

Online filing and orders via UCC Connect

A Customer account will be web-enabled to allow Customer to commence filing and placing orders (certified or non-certified copies) over the Internet using the SOS web site, UCC Connect.

Online filing and orders via UCC Connect using XML functionality

A Customer account will be web-enabled to allow Customer to commence filing over the Internet using the SOS web site, UCC Connect. The upload page will allow customers to select a file from their PC that has been formatted as an XML document that contains UCC filings or orders. Customer will upload the XML document and submit this file to the SOS for processing.

Automated Exchange

Customer will create an application that will be used to submit the XML document to the SOS. SOS will send the XML acknowledgement document to the customer via their application. The design and implementation of the application will be the responsibility of the customer.

B. Consideration and Payment

In accordance with the California Uniform Commercial Code, the SOS has adopted specific filing forms with associated filing fees.

Customer agrees to pay the fees for each transaction as provided in the fee schedule published on the California SOS Business Portal, http://www.sos.ca.gov. The fees may be increased or decreased by formal action of the SOS.

Customer agrees that payment for transaction fees will be in the form of a prepaid customer account or a credit card. To pay by customer account, customer must have a funded account already established with the SOS. Customer accounts must be funded in order to use the account as a payment method for web-based services. Funds can be added to the account via a valid credit card at any time using the *Account Maintenance Menu* of UCC Connect. A customer also can fund their Customer Account using a personal/business check, or money order at the UCC Counter or through the mail.

Failure of Customer to remit payment or any insufficiency of funds for an automatic electronic transfer under this section shall be considered a breach of this agreement by Customer and grounds for immediate termination of this agreement by SOS as provided herein.

SECTION 4: BULK ORDERS

A. Services:
Customers have the option to request bulk data records, TIFF images of documents or both. The Bulk Order can be for a one-time purchase or a subscription for a specified frequency. Specific formats, delivery and receipt options, as well as the media can also be requested depending on the type of records being purchased. Customers have the option to receive these records in either ASCII (American Standard Code for Information Interchange) or eXtensible Markup Language (XML) via the internet, CD or USB drive (master unload images only), depending upon the type and format of the information requested. The following services are available from the SOS:

Bulk Order for Data
- Master Unload (this is a complete copy of all records—unlapsed and lapsed)
- Daily subscription (this is a collection of transactions processed for one day, through to midnight)

Bulk Order for Images
- Master Unload (this is a complete copy of all images—unlapsed and lapsed)
- Daily subscription (this is a collection of images of transactions processed for one day, through to midnight)

Bulk Order Request for both Data and Images
- Master
- Daily subscription

B. Consideration and Payment
Customer agrees to pay the fees as provided in the following fee schedule. Note that fees are subject to change.

Bulk Order Type	*Annual*
Subscription – Data	$2, 700.00
Subscription – Images	$3, 700.00
Subscription – Data & Images	$4, 300.00

Bulk Order Type	*One-Time (or As-Needed)*
Master Unload – Data	$100.00
Master Unload – Images	$800.00
Master Unload – Data & Images	$900.00

Customer agrees that payment for bulk orders will be in the form of a pre-paid customer account or a credit card. To pay by customer account, customer must have a funded account already established with the SOS. Customer accounts must be funded in order to use the account as a payment method for web-based services. Funds can be added to the account via a valid credit card at any time using the *Account Maintenance Menu* of UCC Connect. Customer can also fund the Customer Account using a personal/business check, or money order at the UCC Counter or through the mail.

Customer agrees to remit payment in advance. Each May, the SOS will review the contract to ensure sufficient funds are available to cover the cost for the bulk orders provided by this agreement.

Customer agrees to advance any additional funds necessary to continue receiving bulk orders through the end of the contract period. Failure to advance the additional funds will relieve the SOS from any and all obligation to produce the information provided to be sold in Section 4 of this agreement, immediately upon the date of such failure. Reinstatement of service, in the event of failure, as specified in this section, shall be subject to terms, conditions and guarantees acceptable to the State.

Nothing in this section shall be construed to require notice by the State to the Customer.

C. Privacy Protection
In order to prevent identity theft and protect the personal privacy of people whose information may appear in UCC documents filed with the SOS, the SOS has performed a process of redacting social security numbers from electronic images of UCC filings made available to the public.

If a social security number has been redacted from a filing, the SOS will maintain the UCC unredacted official filing (Official Filing) and create a UCC redacted public filing (Public Filing), which is an exact copy of the UCC official filing with the social security number redacted. The Public Filing will be the only version available for information requests, including Bulk Orders that include images. The Official Filing will only be accessible to the public pursuant to a subpoena or an order from a court of competent jurisdiction.

Customer and the SOS agree to use their best efforts to ensure that the privacy rights of those individuals named in the System are protected and to ensure that social security numbers are redacted from reproductions, distributions, displays, or other uses of the images, except as otherwise permitted by law.

If Customer has a Subscription that includes images, any images that have been modified to redact a social security number subsequent to the issuance of the Master Unload with Images will be included as a modified record in the daily image files.

Customer agrees to purge previous versions of images received from the SOS that contain social security numbers and agrees to replace those images with the Public Filing images that are included as a modified record in the daily image files.

Customer agrees to indemnify, defend and hold harmless the State of California, SOS and any of their officers, agents and employees from any and all claims and losses accruing or resulting to any and all persons, firms associations or any other business entities as a direct result of the failure of Customer to purge previous versions of images purchased from the SOS and for any errors or omissions introduced into the data and/or images by the Customer and resulting from the Customer's dissemination of any or all of the information contained in the unredacted data and/or images.

SECTION 5: APPROVALS

IN WITNESS WHEREOF, the parties have executed this Agreement on the day and year provided below.

CALIFORNIA SECRETARY OF STATE
1500 11TH Street
Sacramento, CA 95814

Customer name: _____
Address: _____
City, State, Zip: _____

By: _____
_____, Title
  California Secretary of State

By: _____
_____, Title

_____
Signature   Date

_____
Signature   Date

10. Appendix B: Bulk Order Request

(see next page)

BULK ORDER REQUEST
FOLLOW INSTRUCTIONS CAREFULLY

A. NAME & PHONE OF CONTACT	Customer ACCT #

B. RETURN TO: (Name and Address)

〔   〕

〔   〕

THIS SPACE FOR FILING OFFICER USE ONLY

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1. Please select **ONE** Bulk Order type: (If you wish to request more than one Bulk Order Type, please complete a separate form for each request)

Order Type:

☐ *Master Unload*

☐ *Subscription*   *Effective Date: _____*

☐ *Cancel Subscription*   *Effective Date: _____*   *Document Number: _____*

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2. If requesting Data, please indicate the File Type:

Data Request:

File Type: ☐ *ASCII*   *OR*   ☐ *XML*

Media: *Web only*

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3. If requesting Images, please check the box below:

☐ **Image Request**   *(Master provided on USB, subscription on CD)*

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4. Provide email address:

Email address: _____

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5. Please indicate the Delivery method you are requesting:

☐ *Pick up at SOS UCC Counter*
☐ *First Class Mail*
☐ *Web (Data only)*
☐ *Courier Service: (pre-paid by Customer)   Courier: _____*
Courier Acct #: _____